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UNITED STATES DISTRICT COURT
   SOUTHERN DISTRICT OF NEW YORK
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   CHAUNCEY GIRARD,
 4
                           Plaintiff,
 5
                               Case No. 20-cv-5883-CS
       -vs-
 6
   ERIC GUTWEIN, et al.,
 7
                          Defendants.
 8
        -----x
 9
                                United States Courthouse
10
                                White Plains, New York
11
                                January 26, 2022
                                10:45 a.m.
12
                 ** VIA TELECONFERENCE **
13
14 Before:
                               HONORABLE CATHY SEIBEL
15
                               United States District Judge
16
17 APPEARANCES:
18 CHAUNCEY GIRARD, Pro Se Plaintiff
19
   NEW YORK ATTORNEY GENERAL'S OFFICE
20
       Attorneys for Defendants
       44 South Broadway, Fifth Floor
       White Plains, New York 10601
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   BY: RACHEL C. ZAFFRANN
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THE DEPUTY CLERK: Good morning, Judge.
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                                                      This matter
  is Girard v. Gutwein, case number 20-cv-5883. Plaintiff,
 2
  Mr. Chauncey Girard, is on the line, as well as Ms. Rachel
   Zaffrann for defendants. Our court reporter Darby is on, and
   Jenny is on.
 6
             THE COURT: All right. Good morning, everybody.
   have defendants' motion to dismiss. I am prepared to rule. Is
   there anything either side wants to add that's not covered by
   the papers?
10
             MR. GIRARD: Yes. I would like to add in light of the
  motion to dismiss that the documents that I sent to the Court
11
   that the motion to dismiss would be not accurate because the
12
13
   attorney general would undermine the authority of the Court by
14
   stating that I didn't exhaust my state remedies, and I
   specifically showed that all my state remedies was exhausted.
15
             Furthermore, I feel as if my motion to dismiss their
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  motion should be granted due to that fact because I have shown
17
   the documents with the documents --
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19
             THE COURT: Okay. Well, yeah, if there is anything
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   you want to say that isn't covered by the papers, now is the
21
   time, but I have read all of your papers --
22
             MR. GIRARD: Right.
23
             THE COURT: -- and looked at the documents.
24 there is anything additional, go right ahead, but you don't have
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   to remind me of what's in your papers.
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MR. GIRARD: Right. I just wanted to put in for
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  summary judgment because right now -- I'm going through a lot
 2
  right now. I'm trying to get medical attention, and I'm getting
   charged for the medical attention that I am receiving while I am
   in the prison. I got a notice from these attorneys and doctors.
   They have been charging me money for just getting medical
   attention. I am going blind in my eyes. I can't -- I am
   legally blind. I can't see, and I like -- I would like to have
   like some type of legal assistance towards this case. If not, I
   would like to have some type of summary judgment action.
10
11
             THE COURT: So let me explain a couple of things.
12
   First of all, right now this is a motion to dismiss. I will
13
   tell you now that some of the claims are going to survive the
  motion to dismiss, and then I am going to give you a whole
14
15
  ruling.
             Then before either side moves for summary judgment,
16
   ordinarily, in almost every case you have to have discovery
17
   first. You can't go right from complaint to summary judgment
18
  because both sides need to gather the evidence that they are
19
20
   going to use on summary judgment.
21
            MR. GIRARD: Is that --
22
             THE COURT: You know, right now, if you moved for
23 summary judgment now, you would say, all of these bad things
24
  happened to me, and the defendants would say, no, they didn't.
  And I would have to deny the motion because the -- there would
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be a fact dispute. So that's why the parties take discovery;
   ask each other questions; collect documents to try to gather
   evidence to support their side of the story. That's number one.
 4
             Number two, I'm sorry for your troubles, but they are
  not part of this case. This case is about what happened in
   Green Haven. You are up in Fairhill now.
 7
             MR. GIRARD: No. I am in Franklin.
 8
             THE COURT: Oh, you are at Frankin now. Sorry.
   That's not even in the Southern District. So the stuff that --
10
   you know, if you have any claims relating to what's happening to
   you there, they can't be part of this lawsuit. They would have
11
12
   to be part of a different case. That's number two.
13
            MR. GIRARD: This is stemming from --
14
             THE COURT: I am sorry. Go ahead.
15
            MR. GIRARD: Sorry to cut you off. This is stemming
   from this case, though. That's what I am trying to say, this
   has happened before whatever happened.
17
             THE COURT: Well, what makes you think that what's
18
19
  happening now stems from this case?
20
            MR. GIRARD: Because the injuries are still the same.
21
             THE COURT: Yes, but the medical -- if you are not
   getting the proper medical care, that's being done by somebody
22
23
   in Upstate New York. It's not occurring in the Southern
24
  District. So to the extent you have claims against the people
   at the facility that you are at now, they have to be brought
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there.
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             MR. GIRARD: Right.
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             THE COURT: They are just -- they are related in the
  sense that the need -- maybe the need for medical treatment
   arose from what happened here, but it's different defendants,
   different claim, different district, different personnel.
  not part of this case.
             The third thing is there is no right to counsel, as
 8
   you know, in civil cases, and the most I could do would be to
   see if there is a volunteer lawyer who is willing to volunteer,
10
   but there are many, many, many more unrepresented people,
11
   prisoners and non-prisoners alike, who want volunteers than
12
   there are lawyers who are willing to volunteer, and the ones who
13
   are willing to volunteer almost invariably wait until a much
14
15
   later stage of the case to see if there is going to be a trial
16
   or not.
             In determining whether I should even ask for counsel,
17
   one of the issues is -- the first issue I have to determine is
18
   whether the claims are going to be of substance, and then there
19
20
   are other factors. So at this stage, you know, I am not
   prepared to even begin the process of looking for counsel.
21
22
   think it would be futile anyway at this stage, but I am going to
23
   give my ruling on the motion to dismiss, and then we will talk
24
   about discovery.
25
             MR. GIRARD:
                          Okay.
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All right. So for purposes of the
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             THE COURT:
  motion -- and make yourselves comfortable. This is going to
 2
   take a while because there are many claims and many defendants;
   and, Mr. Girard, you might -- well, both of you might want to
   take notes.
 6
             MR. GIRARD: Can I just get a pen real quick?
 7
             THE COURT:
                         Sure.
 8
             MR. GIRARD: Thank you.
 9
                         So for purposes of the motion, I accept as
             THE COURT:
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   true the facts, but not the conclusions, in the Amended
   Complaint, which I'm going to call the AC, which is ECF number
11
12
   39; the original complaint, which is ECF number 2, and
13
   plaintiff's opposition to the motion, which is ECF number 60.
14
   can give the plaintiff the benefit of considering that in all of
   those documents. See Washington versus Westchester County, 2015
15
   Westlaw 408941 at page 1, note 1, Southern District, January 30,
16
   2015; and Braxton versus Nichols, 2010 Westlaw 1010001 at
17
   page 1, Southern District, March 18, 2010.
18
19
             The facts are as follows -- and by the way, my
20
   chambers will send Mr. Girard copies of any unreported cases
   that I cited to.
21
22
             MR. GIRARD: Okay.
23
             THE COURT: Plaintiff is an inmate with DOCCS.
24
   complaint is not easy to understand, but as best as I can tell,
   the facts are as follows: On July 31st of 2018, plaintiff had
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trouble breathing and requested emergency sick call. contacted defendant Correction Officer Tomas, who called defendant Sergeant Elmore and C.O. Polito. Defendants Elmore and Polito handcuffed the plaintiff to transport him to medical. Defendant Polito pushed plaintiff to the wall, perhaps to pat-frisk him, and then placed his hands, "inside of plaintiff's pants," grabbed plaintiff's genitals with his bare hands, stroked him for several minutes, and said, "Nice." I am getting this from the amended complaint at page 9, the original complaint at page 6, and plaintiff's opposition at page 5, and 10 the amended complaint at page 5. Putting all that together 11 12 because not all of those allegations were in all of those documents, defendant Elmore is alleged in the AC at 9 to have 13 watched the sexual assault and not done anything about it. 14 While walking to medical, defendant Polito punched 15 plaintiff in the face and stomach, and defendant Correction 16 Officer Rios joined in punching the plaintiff twice. That's the 17 AC at pages 9 to 10. They also allegedly sprayed plaintiff, and 18 at some point defendant Sergeant Blot joined in by punching 19 20 plaintiff in the eye. Plaintiff's injuries included a concussion, lacerations, hemoptysis, contusions and blood in the 21 22 urine. That's at pages 10 to 11 of the AC. Defendant Elmore is 23 alleged to have watched the alleged beating and done nothing to 24 stop it and failed to provide a medical response. That's at 25 pages 9 to 10. Plaintiff alleges that he was assaulted in

retaliation for having filed a Section 1983 lawsuit.

2 During or shortly after the assault, plaintiff became unconscious and woke up in the shower in the SHU. Fake charges were allegedly filed against him to cover up the assault, and at a subsequent hearing, Commissioner Hearing Officer Gutwein, who is a defendant, allegedly violated plaintiff's rights in that plaintiff was only permitted to call some of his witnesses, or if you look at the amended complaint at 15 -- I am sorry -plaintiff was only permitted to call four witnesses. If you 10 look at the amended complaint at 15, he says he wanted to call If you look at page 11, he says he wanted to call 11. 11 12 any event, he says -- and this is from pages 10 through 11 at 13 15 -- that Gutwein only let him call a fraction of his witnesses; that plaintiff asked for, but did not receive audio 14 and video of cameras 33, 192 or 191; that plaintiff only got 15 pictures after the hearing was over; that Gutwein secretly 16 called witnesses behind plaintiff's back and tried to bribe him. 17

At the disciplinary hearing, plaintiff was given either 120 or 150 days in the SHU. The page 11 says 120 days. Page 15 says 150. Plaintiff's opposition says 150. He lost five months of good time, according to the AC at 11 through 15, and was not given any disposition to appeal. That's at page 11.

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At some unspecific point in time, defendant Dr. Uzu cancelled a previously-scheduled MRI. Plaintiff cites Exhibit F 90326-18, but we could not locate that document.

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At another unspecified point in time, Dr. Uzu ordered
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   a CT scan, but he did not issue plaintiff a permit for his
 2
   shoulder while he was in the SHU. At other unspecified points
  in time, defendant Lamanna saw plaintiff's injuries and received
   a letter and grievances, but didn't do anything to help
  plaintiff and failed to do anything to prevent further damage.
 7
   That's at pages 11 to 14.
 8
             On July 28, 2020, plaintiff filed his complaint
   against Commissioner Hearing Officer Gutwein, Superintendent
   Lamanna, Sergeant Elmore, Sergeant Blot, C.O. Polito, C.O.
10
   Tomas, C.O. Rios, and Dr. Uzu. On March 23rd, defendants filed
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12
   a pre-motion letter in anticipation of their motion to dismiss.
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   Plaintiff responded on April 13. We had a conference on
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   April 23rd at which I granted leave to amend. The amended
   complaint was filed on May 17th. On August 5th, plaintiff --
15
   defendant filed the instant motion, which is ECF number 51.
16
   Plaintiff filed his opposition in September. Defendants filed
17
   their reply in October. Plaintiff's opposition is ECF number
18
        Defendant's reply is ECF number 61. On November 3rd, after
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20
   the motion was fully briefed, plaintiff sent a letter attaching
   document ECF number 62.
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22
             At the April 23rd pre-motion conference, I explicitly
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   told plaintiff that his amended complaint shouldn't contain
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   legal documents, but -- excuse me -- legal arguments, but it
   does; and it reads more like a brief or a memorandum of law than
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I also said plaintiff shouldn't make his an amended complaint. submission a hundred pages long. He didn't listen. The amended complaint is 207 pages, including legal argument, and more than 180 pages of exhibits, many of which are medical records or grievances regarding matters unrelated to this claim, and his opposition includes approximately 115 pages of exhibits and judicial opinions. Plaintiff should understand that if he has relevant, 8 significant information, it is not to his advantage to bury it 10 in a stack of irrelevant material because I cannot read his mind and discern what he wants me to consider within those documents, 11 12 and nor can I go through large volumes of material to identify 13 allegations or theories that plaintiff has not advanced. The legal standard governing a motion to dismiss for 14 15 failure to state a claim on which relief could be granted comes from Ashcroft versus Iqbal, 556 U.S. 662, and Bell Atlantic 16 versus Twombly, 550 U.S. 544. 17 To survive a motion to dismiss, a complaint has to 18 19 have sufficient factual matter, accepted as true, to state a 20 claim to relief that is plausible on its face. That means it has enough factual content for the Court to draw the reasonable 21 22 inference that the defendant is liable for the misconduct 23 alleged. Detailed factual allegations are not necessary, but a 24 plaintiff's obligation to provide the grounds of his entitlement to relief requires more than labels and conclusions or a 25

formulaic recitation of the elements of the claim. Rule 8 is generous departure from the hypertechnical regime of a prior era, but it does not permit discovery for a plaintiff who alleges nothing more than a conclusion. The Court has to begin by identifying pleadings that, 5 because they are conclusions, are not entitled to the assumption of truth, and then has to decide whether the remaining factual allegations accepted as true plausibly give rise to entitlement to relief. This is a context-specific task that requires the court to draw on its judicial experience and common sense. 10 Well-pleaded facts do not permit the court to infer more than 11 12 the mere possibility of misconduct. The complaint has alleged, but not shown, that the pleader is entitled to relief, and that 13 is not enough under Rule 8. 14 15 On the motion to dismiss, a court's generally confined to the four corners of the complaint, the documents incorporated 16 in, or attached to, the complaint, documents on which the 17 plaintiff relied in bringing the case and things of which the 18 court can take judicial notice. See Kleinman versus Elan, 706 19 20 F.3d 145 at 152. But a court can consider documents outside the 21 complaint as they relate to exhaustion if submitted by 22 defendants under limited circumstances. See McGee versus 23 McGready, 2018 Westlaw 2045094 at page 2, Southern District, 24 April 30, 2018. Those include situations where the complaint was a standard pro se form complaint with a check-box regarding 25

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exhaustion, or contained allegations clearly stating the inmate
  has exhausted, or clearly pointed to the fact that the inmate
  had, in fact, not exhausted. That's again McGee at page 2.
   I've considered the exhibits attached to the amended complaint
   to the extent they relate to exhaustion. That's ECF number 39-1
  at 39 to 40, and 39-2 at 1 to 5; and to the extent they relate
   to the disciplinary hearing, the transcript of which is ECF
   number 39-4.
 9
             I can also consider exhibits submitted by a pro se
   plaintiff as part of his opposition. Smith versus County of
10
   Westchester, 2019 Westlaw 3006407 at page 4, note 3, Southern
11
12
   District, July 10, 2019; and Milano versus Astrue, 2007 Westlaw
   2668511 at page 2, Southern District, September 7, 2017.
13
             So I consider ECF number 60-1 at pages 2 to 7 relating
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   to exhaustion, but most of the documents plaintiff attaches to
15
   his opposition related to plaintiff's injuries, which are not at
16
   issue on this motion.
17
             Submissions by pro se plaintiffs are to be examined
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19
   with special solicitude, Tracy versus Freshwater, 623 F.3d 90 at
20
   102, interpreted to raise the strongest arguments they suggest,
21
   Burgos v. Hopkins, 14 F.3d 787 at 790; held to less stringent
   standards than formal pleadings drafted by lawyers, Hughes
22
23
   versus Rowe, 449 U.S. 5 at 9. Nevertheless, threadbare recitals
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   of the elements of a cause of action, supported by mere
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   conclusory statements, do not suffice, and district courts
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cannot invent factual allegations that the plaintiff has not
             Chavis versus Chappius, 618 F.3d 161 at 170.
 2
 3
             I first discuss exhaustion. The Prison Litigation
  Reform Act, or PLRA, requires exhaustion of available
   administrative remedies, including compliance with an agency's
   deadlines and procedures before inmate-plaintiffs may bring
   their federal claims about prison conditions to court. Woodford
   versus Ngo, 548 U.S. 81 at 90; see 42 U.S. Code
   Section 1997e(A). For inmates in New York prisons, this
10
   involves compliance with DOCCS's three-tiered Inmate Grievance
   Program or IGT, in which: One, the plaintiff must file a
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   grievance with the Inmate Grievance Resolution Committee or
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13
   IGRC, within 21 days of the alleged occurrence; two, the
   prisoner must then appeal an adverse decision by the IGRC to the
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   superintendent of the facility within seven days after receipt
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   of the IGRC's response; and three, the prisoner must then appeal
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   an adverse decision by the superintendent to the Central Office
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18
   Review Committee, or CORC, within seven days of receipt of the
19
   superintendent's response. See 7 New York Compilation of Codes
20
   and Regulations Section 701.5, and McGee at page 2. The IGP
   requires CORC to respond to an appeal within 30 days of its
21
   receipt. 7 N.Y.C.C.R. Section 701.5(d)(3)(ii). Once that
22
23
   30-day deadline has elapsed, inmate-plaintiffs are deemed to
24
  have exhausted and are free to file suit even if CORC has not
   rendered a decision. Hayes v. Dahlke, 976 F.3d 259 at 270 to
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The PLRA exhaustion requirement applies to medical
   treatment claims. See King versus Puershner, 2019 Westlaw
   4519692 at pages 8 to 9, Southern District, September 19, 2019;
   and Long versus Lafko, 254 F.Supp.2d 444 at 446 to 48, Southern
   District, 2003; but not to sexual abuse or harassment claims;
   see Sheffer versus Fleury, 2019 Westlaw 4463672, Southern
   District, September 18, 2019; see also 7 N.Y.C.C.R.
   Section 701.3(i), which cites the Prison Rape Elimination Act,
   or PREA standards, 28 C.F.R. Section 115.52(a).
             Complaints regarding sexual abuse or harassment are
10
   subject to a relaxed exhaustion requirement. DOCCS directive
11
12
   440 Section 701.31, which is in the N.Y.C.R.R. Title 7 says as
13
   follows: "Any allegation concerning an incident of sexual abuse
   or sexual harassment shall be deemed exhausted if official
14
15
   documentation confirms that: An inmate who alleges being the
   victim of sexual abuse or sexual harassment reported the
16
   incident to facility staff; in writing to Central Office Staff;
17
   to any outside agency that the Department has identified as
18
  having agreed to receive and immediately forward inmate reports
19
20
   of sexual abuse and sexual harassment to agency officials under
   the PREA Standards, 28 C.F.R. Section 115.51(b); or to the
21
22
   Department's Office of Inspector General."
23
             DOCCS has a separate and distinct process for inmates
24
   to appeal the result of disciplinary hearings. This is not a
   grievance process. Kimbrough versus Fischer, 2014 Westlaw
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12684106 at page 6, Northern District, September 29, 2014.
   7 N.Y.C.R.R. 701.3(e)(2), which explains that disciplinary
   dispositions are not grievable. Same in 70323.4(h). "When an
   inmate's federal claims arise directly out of a disciplinary or
   administrative segregation hearing, he exhausts his
   administrative remedies by presenting his objections in the
   administrative appeals process." Williams versus Annucci, 2018
   Westlaw 3148362 at page 6, Southern District, June 27, 2018.
 9
             Specifically, the inmate has to appeal to the
   Commissioner of DOCCS, who can then affirm, reverse, remand or
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11
  modify. Williams at 6, citing 7 N.Y.C.C.R.
12
   Section 254.8(a)-(d); see David versus Barrett, 576 F.3d 129 at
   132. Where an inmate claims both that there was official
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14
  misconduct in the events leading to the disciplinary hearing and
15
   that the hearing itself was constitutionally flawed, he must
   follow both DOCCS procedures, Kimbrough at 6, in other words,
16
   the underlying event through the grievance process and the
17
18
   disciplinary results through the appeal process.
19
             Initially, defendants argued that plaintiff had failed
20
   to exhaust his remedy for any of his claims. That's at ECF
   number 52 at page 6. Frankly, I expect better of the attorney
21
   general because plaintiff's amended complaint included the CORC
22
23
            That's ECF 39-1 at page 39. Further, the attorney
24
   general's brief was filed well after Hayes was decided, so
   defendants should not have been arguing that plaintiff filed the
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lawsuit prematurely before CORC rendered its decision.
   event, defendants now concede in their reply at page 1 that
  plaintiff grieved the alleged assault and battery and the
  alleged sexual assault and failure to intervene claims, failure
   to protect-slash-intervene claims, but they continue to argue
   that plaintiff did not exhaust the alleged due process
   violations, the alleged medical indifference claims, and the
   alleged supervisory claims. I am going to refer to those three
   claims as the "at-issue claims."
             Exhaustion is an affirmative defense, not a pleading
10
   requirement, and thus inmate-plaintiffs don't need to
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12
   specifically plead or demonstrate exhaustion in their complaint.
13
   Jones versus Bock, 549 U.S. 199 at 216. Rather, defendants have
   to show lack of exhaustion. Colón versus DOCCS, 2017 Westlaw
14
15
   4157372 at page 4, Southern District, September 15, 2017.
   Relief may be granted on a Rule 12(b)(6) motion only when
16
   failure to exhaust appears on the face of the complaint. Jamiel
17
   versus Viveros, 2020 Westlaw 1847566 at page 3, Southern
18
19
   District, April 13, 2020; accord Frederic versus NFC, 2018
20
   Westlaw 4735715 at page 2, Southern District, September 28,
   2018.
21
22
             Here, beyond plaintiff's signature on page 18 of the
23 amended complaint recognizing that he understands that prisoners
24
  have to exhaust administrative remedies before filing a federal
   action about prison conditions, the AC is silent as to whether
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plaintiff exhausted his administrative remedies for the at-issue claims. Plaintiff notes that he filed grievances relating to claims in a different case and that those grievances go to C.O.R.C. That's at page 8 of the AC, but those grievances are obviously not at issue here. The only relevant grievance that plaintiff refers to in his AC is what he refers to as "Grievance of GH-90072-18, hearing date 9/10/20 for the excessive force and the sexual assault at the CORC Exhibit K." That's in the AC at While the exhibits attached to the AC are not labeled, 14. making the Court's task much more difficult, the Court found the 10 documents to which plaintiff refers at ECF number 39-1 at pages 11 12 35 to 39, and at ECF number 60-1 at pages 2 to 7. 13 This grievance standing alone does not speak to whether plaintiff exhausted his remedies for the at-issue 14 claims. In other words, that a pro se plaintiff refers in his 15 AC to a grievance regarding a particular claim or claims is not 16 the equivalent of an affirmative statement that he did not file 17 other grievances or exhaust his administrative remedies for 18 other claims. 19 20 Where a plaintiff's pleadings are silent as to administrative remedies taken, most other courts in this 21 22 District have found that the failure to exhaust is not apparent 23 from the face of the complaint or the documents properly 24 considered and have therefore denied similar motions to dismiss. See Tatas versus Ali Baba's, 2020 Westlaw 2061539 at page 5, 25

Southern District, April 29, 2020; and Frederic, 2018 Westlaw, 4735715 at page 3. Here, the AC is not completely silent as to 2 exhaustion, but it is silent with respect to exhaustion for the at-issue claims, but in such circumstances, a district court may, in its discretion, convert a motion to dismiss that includes additional evidence beyond the pleadings into a motion 7 for summary judgment. Frederic at page 3. The court may do so provided it gives sufficient notice and an opportunity for that party to respond. Mathie v. Dennison, 381 Fed. App'x 26 at 26. Under certain circumstances, a court can convert 10 without giving explicit notice. Metrokane versus Wine 11 12 Enthusiast, 185 F.Supp.2d 321 at 325, Southern District 2002. 13 The essential inquiry is whether the opposing party should reasonably have recognized the possibility that the motion might 14 be converted into one for summary judgment or was taken by 15 surprise and deprived of reasonable opportunity to meet facts 16 outside the pleading. Gurary versus Winehouse, 190 F.3d 37 at 17 43; see Villante versus Department of Corrections, 786 F.2d 516 18 at 521, and Metrokane at 325. Here, plaintiff was on notice 19 20 that defendant was moving to dismiss on exhaustion grounds and was even told at the pre-motion conference to include his CORC 21 22 appeal in his submissions. Additionally, plaintiff attached 23 hundreds of pages of extrinsic evidence to his AC in opposition, 24 including many grievances, some that are not even relevant to this case, suggesting that he submitted all of the grievances he 25

had filed. Therefore, as to the issue of exhaustion only, I convert the motion to one for summary judgment.

As I said earlier, standing alone, the fact that a prose plaintiff included one grievance in the AC is not the equivalent of a statement that he did not file other grievances and does not necessarily mean he didn't. But when coupled with the discussion at the pre-motion conference, the hundred pages of exhibits the plaintiff did file, and plaintiff's argument in his opposition, I find the record clear that plaintiff did not exhaust his administrative remedies for his medical indifference claim against defendant Uzu and his failure to intervene claim against defendant Lamanna.

For example, plaintiff argues in his opposition papers that, "In this case I would exhaust my state remedies by the grievance going all the way to CORC," but he cites only Exhibits E and F. That's in his opposition at page 11. That grievance details the July 31st, 2018, incident, but does not refer in any way to defendant Lamanna's failures or defendant Uzu's medical indifference. It doesn't refer to these defendants at all. This is not say that an inmate needs to identify the responsible parties in a grievance by name in order to later name them as defendants, but the mere fact that plaintiff filed some grievance and fully appealed all the decisions on that grievance, does not automatically mean that he can sue anyone who was in any way connected with the events giving rise to that

See Peters versus Huttel, 2019 Westlaw 6619602 at grievance. page 9, Southern District, December 5th, 2019. A claim can be exhausted when it is clearly associated with, even if not explicitly mentioned in, an exhausted grievance. Percinthe versus Julien, 2009 Westlaw 2223070 Southern District July 24, 2019. Nevertheless, the grievance must allow a claim to be properly investigated and specifically addressed in the prison's denial of the grievance. Peters at page 9. Here, plaintiff's exhausted grievance did not allow the at-issue claims to be 10 properly investigated, see Peters, which found -- at page 9, which found that plaintiff failed to exhaust because the 11 grievance did not lend itself to review of and decision on the 12 13 failure to protect claim, as all that was addressed was excessive force. Percinthe v. Julien at pages 5 to 6, which 14 similarly found a failure to protect claim not exhausted where 15 the grievance only alleged excessive force. There being --16 there is no other -- there is no indication that plaintiff filed 17 any other grievance regarding the at-issue claims. 18 unlikely plaintiff would submit to this Court as many grievances 19 20 as he did, but hold the one or ones related to defendants Uzu 21 and Lamanna. Thus, I agree with defendants that plaintiff 22 provides no documentation showing he exhausted his 23 administrative remedies, at least for the medical indifference 24 claims against Uzu, and the failure to intervene claim against 25 Lamanna. See defendant's reply at 2.

Even though those claims are unexhausted, in an excess 1 of caution, I will address them on the merits in a minute. 2 3 With respect to plaintiff's due process claim against Gutwein, which has to be exhausted via an appeal of the disciplinary decision, I cannot say that plaintiff has failed to exhaust. He alleges and argues in his AC that he was not given any disposition to appeal. That's at page 11. Defendants do not seem to respond to this argument. But the CORC disposition, ECF 39-1 at page 39, says that plaintiff "was issued a Tier III misbehavior report for his actions on 7/31/18, which was upheld 10 upon appeal by the Office of Special Housing/Inmate Discipline 11 12 on 11/28/18," which sounds like there was an appeal. After the 13 motion was fully briefed, plaintiff filed ECF number 62, which attached an exhibit entitled "Review of superintendent's 14 15 hearing," and argues that that document shows that administrative remedies were exhausted. It provides, "On behalf 16 of the commissioner and in response to your recent letter of 17 appeal, please be advised that your superintendent's hearing of 18 19 September 28, 2018, has been reviewed and affirmed on 20 November 28, 2018." So it appears that plaintiff did appeal and exhaust his due process claim. I don't understand why the 21 22 attorney general, which must have had access to the same 23 document, argued otherwise. So there is a failure to exhaust as 24 to Lamanna and Uzu, but not the due process claim against 25 Gutwein.

In any event, turning to the merits of the claim 1 against Lamanna, plaintiff argues in his opposition at pages 11 2 to 12 that Lamanna knew of the violations through a report and the appeal process; that he knew of the injuries through grievances; that he created the policy under which unconstitutional practices occurred, and that he was grossly negligent in supervising subordinates. The AC at page 11 says that Lamanna got a letter and saw plaintiff's stitches in his eyes during daily go-arounds, and defendants argue in their reply at page 3 that plaintiff's mere speculation that Lamanna 10 knew of the alleged violation is insufficient to show 11 12 supervisory liability. It's well settled in this Circuit that personal 13 involvement of the defendant in an alleged constitutional 14 15 deprivation is a prerequisite to an award of damages under Section 1983. Colon versus Coughlin, 58 F.3d 865 at 873. 16 Colon laid out a special test for supervisory liability 17 outlining five ways a plaintiff could show personal involvement 18 19 of a supervisor, the Second Circuit recently clarified that 20 under the Supreme Court's ruling in Iqbal, the Colon test is invalid, and a plaintiff has to plead and prove that each 21 22 government official defendant through the official's own 23 individual actions has violated the Constitution. Tangreti 24 versus Bachmann, 983 F.3d 609 at 618. Because Tangreti overruled Colon, I do not understand how the attorney general 25

could have quoted and argued the Colon test or why it would because the Tangreti test is so much more favorable to the defendants. It does not fill me with confidence when parties repeat outdated boilerplate and aren't aware of the recent law governing the claim. In any event, merely being in the chain of command is not enough to satisfy the applicable standard under Tangreti at 18. While the factors necessary to establish a 1983 violation will vary with the constitutional provision at issue, because the elements of different constitutional violations 10 vary, the violation must be established against that official directly. See Tangreti at 16. 11 12 Here, the Eighth Amendment requires prison officials 13 to take reasonable measures to guarantee the safety of inmates 14 in their custody. Hayes versus New York City Department of Corrections, 84 F.3d 614 at 620, citing Farmer v. Brennan, 511 15 U.S. 825 at 833. To prevail on the failure to protect claim, a 16 plaintiff must demonstrate that objectively the conditions of 17 his incarceration posed a substantial risk of serious harm, and 18 19 subjectively that the defendant acted with deliberate 20 indifference. Farmer at 834, Hayes at 620. 21 A prison official has sufficient culpable intent if he knows the inmate faces a substantial risk of serious harm, and 22 23 he disregards that risk by failing to take reasonable measures 24 to abate the harm. Hayes at 620. A plaintiff must show that prison officials actually knew of, but disregarded, an excessive 25

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In other words, the official must both be
   risk to his safety.
   aware of facts from which the inference could be drawn that a
   substantial risk of harm exists, and he must also draw the
   inference. Farmer at 837; see Tangreti at 619.
             That defendant Lamanna knew of the alleged violations
 5
  after the fact is insufficient to show the supervisory
   liability. See Allah versus Annucci, 2018 Westlaw 4571679 at
   page 6, Southern District, September 14, 2018; Alvarado versus
   Westchester, 22 F.Supp.3d 208 at 215, Southern District 2014;
   Smith versus Connecticut Department of Corrections, 2007 Westlaw
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   678549 at page 4, District of Connecticut, March 1, 2007,
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12
   collecting cases; Bennett v. Hunter, 2006 Westlaw 1174309 at
13
   page 6 and note 33, Northern District, May 1st, 2006; also
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   collecting cases. All of those cases stand for the fact that
  merely getting a letter or a complaint after the fact is not
15
   enough to show personal involvement. If it were, it would
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   impose liability on supervisors just for being a supervisor, and
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   1983 does not do that. Like the plaintiff in Woodson versus
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19
   Superintendent of Green Haven, 2021 Westlaw 431444 at page 2,
20
   Southern District, February 4th, 2021, a case that plaintiff
21
   cites, plaintiff "Does not allege any facts showing how [the
22
   defendant at issue] was personally involved in the event
23
   underlying the claim."
24
             Plaintiff argues in his opposition at page 11 that
   Lamanna allowed the continuance of the defendants to hurt and
25
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threaten to kill, and cites documents that, as defendants correctly argue, were not even addressed to or sent to Lamanna. Defendants' reply at 3. While courts have found that when an inmate informs corrections officers about a specific fear of assault and is then assaulted, it's sufficient to proceed on a claim of failure to protect. Beckles v. Bennett, 2008 Westlaw 821827 at page 17, Southern District, March 26, 2008, collecting cases. This is true even where that assault was allegedly committed by another prison official, Albritton versus Morris, 2016 Westlaw 1267799 at page 13, Southern District, March 30, 10 2016. Plaintiff does not allege that Lamanna was aware of any 11 specific fear of assault. If anything, plaintiff's submission 12 suggests that Lamanna learned of the alleged misconduct through 13 grievances or observations after the alleged misconduct took 14 place and after the plaintiff was injured. As the Court 15 explained in Bobbit versus Marzan, 2020 Westlaw 5633000, 16 Southern District, September 21, 2020, at page 7, another case 17 plaintiff cites, "an officer is liable for failing to intervene 18 to prevent a constitutional violation if the officer observes or 19 20 has reason to know that any constitutional violation has been committed by another official and has the realistic opportunity 21 22 to intervene to prevent it." Because plaintiff alleges that 23 Lamanna learned of the misconduct after it took place, he could 24 not have prevented it, and any inaction on his part could not 25 have caused plaintiff's injury.

012522.2 PROCEEDINGS 26

So plaintiff's claims against Lamanna would be
dismissed even if they were exhausted. This ruling should not
come as a surprise to plaintiff based on the discussions we had
at the pre-motion conference where I explained about supervisory
liability.

Turning now to the merits of the plaintiff's claim

Turning now to the merits of the plaintiff's claim against defendant Uzu. The Eighth Amendment imposes a duty on prison officials to ensure that sentenced inmates receive adequate medical care. See Farmer at 832. But not every lapse in medical care is a constitutional wrong. Rather, a prison official violates the Eighth Amendment only when those two objective or subjective requirements are met. Salahuddin versus Goord, 467 F.3d 263 at 279.

First, the prisoner must show objectively that he was actually deprived of adequate medical care, as the prison official's duty is only to provide reasonable care. Salahuddin at 279, citing Farmer at 844 to 47; and the defendant -- and the plaintiff has to show objectively that the alleged deprivation of medical treatment was sufficiently serious. That is, that he had a medical need of urgency, one that could produce death, degeneration or extreme pain. Johnson versus Wright, 412 F.3d 398 at 403, quoting Hathaway v. Coughlin, 99 F.3d 550 at 553; see Williams versus Raimo, 2011 Westlaw 6026115 at page 3, Northern District, July 22, 2001, which says there is no distinct litmus test for determining whether a condition is

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serious, but courts look to a list of factors, including whether
   the impairment is one that a reasonable doctor would find worthy
   of treatment; whether it affects the individual's daily life;
  and whether it causes chronic and substantial pain. Where the
   alleged inadequacy is that medical treatment was -- sorry. Let
  me try that again. Where the inadequacy alleged is in the
   medical treatment given, the seriousness inquiry is narrower.
   Goris versus Breslin, 402 F. App'x 582 at 584, and the focus is
   on the alleged inadequate treatment, not on the underlying
   condition alone. Sanders versus City of New York, 2018 Westlaw
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   3117508 at page 8, Southern District, June 25, 2018.
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12
             Specifically, the court has to consider the
   effectiveness of the treatment and the harm that resulted from
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14
   the alleged shortfall. Sanders at page 8. If the prisoner is
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   getting ongoing treatment, and the offending conduct is an
   unreasonable delay or interruption in treatment, the serious
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   inquiry focuses on the delay or interruption rather than the
17
18
   underlying condition. Goris at 584 to 85; see Smith v.
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   Carpenter, 316 F.3d 178 at 186 to 87. That's the objective
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   prong.
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             For the subjective prong, the prisoner has to show
   that the charged official acted with a sufficiently culpable
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23
   state of mind. Salahuddin at 280 to 81; see Farmer, 511 U.S. at
24
   835, which explains that deliberate indifference is more than
25 mere negligence, but it's something less than acting for the
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very purpose of causing harm or a knowledge that harm will The prisoner has to show that the charged official knew of and disregarded an excessive risk to inmate's health or safety; the official must have been aware of facts from which the inference of such a risk could be drawn and must also have drawn the inference. Johnson, 412 F.3d at 403; see Phelps 7 versus Kapnolas, 308 F.3d 180 at 186, equating deliberate indifference with criminal recklessness. 9 It's well established that mere disagreement over the proper treatment nor medical malpractice are constitutional 10 violations merely because the victim is a prisoner. See Chance 11 12 versus Armstrong, 143 F.3d 698 at 703; Estelle v. Gamble, 429 13 U.S. 97 at 106; Sonds versus St. Barnabas, 151 F.Supp.2d 303 at 312, Southern District 2001, which says that disagreements over 14 medications, diagnostic techniques, forms of treatment, or the 15 need for specialists or the timing of their intervention are not 16 adequate grounds for a Section 1983 claim because they implicate 17 medical judgments, and at worst, negligence amounting to medical 18 19 malpractice, but not the Eighth Amendment; cf Choice versus 20 Blackwell, 2002 Westlaw 32079466 at page 7, District of South 21 Carolina, March 29, 2002 where the court said, the provision of medical care by prison officials is not discretionary, but the 22 23 type and amount of medical treatment is discretionary. So to 24 state an Eighth Amendment deliberate indifference claim, the inmate has to show that the defendants acted or failed to act 25

while actually aware of a substantial risk to serious inmate harm would result. Farid versus Ellen, 593 F.3d 233 at 248. Officials will be found free from liability if they responded reasonably to the risk, even if the harm was not ultimately averted. Farmer at 844. 6 While plaintiff's allegations regarding Dr. Uzu are 7 far from clear, it seems that plaintiff takes issue with Dr. Uzu cancelling an MRI and scheduling a CT, but the law is clear that a medical decision about whether to order a test is not an Eighth Amendment violation, and at most, medical malpractice, 10 which can be properly addressed under state court law. Youmans 11 12 versus City of New York, 14 F.Supp.3d 357 at 363, Southern District 2014. 13 Plaintiff also seems to take issue with the fact that 14 Dr. Uzu did not issue him any permit while he was in the SHU, 15 but based on the allegations in the AC at page 5, the failure to 16 issue a permit for plaintiff's shoulder seems to be the subject 17 18 of another one of plaintiff's 1983 actions against other 19 defendants. See ECF number 39-2 at 4, which relates to events 20 preceding the July 31st, 2018 incident. To the extent plaintiff 21 alleges here that Dr. Uzu should have issued him a permit for his shoulder, that is a disagreement over proper treatment, 22 23 which is not a constitutional violation, and in any event, 24 plaintiff sets forth no facts showing that Dr. Uzu's treatment 25 of him was accompanied by the requisite state of mind.

For these reasons, the claims against Dr. Uzu would be 1 dismissed even if they were exhausted. 2 3 I also agree with defendants that to the extent plaintiff intended to plead a medical indifference claim against defendant Lamanna, the bald conclusions with no factual basis do not adequately plead a constitutional violation. 7 I will now address whether plaintiff plausibly states a claim for due process of violation against defendant Gutwein. To survive a motion to dismiss, the plaintiff must plead that the state has created a protected liberty interest and the 10 process due was denied. Wright versus Coughlin, 132 F.3d 133 at 11 136. 12 13 Defendant does not dispute that plaintiff has pleaded a protected liberty interest, which was a wise choice because 14 where plaintiff is in the SHU for an intermediate duration of 15 between 101 and 305 days, development of a detailed record 16 regarding the conditions of confinement as compared to ordinary 17 prison conditions is required. Chavez v. Gutwein, 2021 Westlaw 18 4248917 at page 7, Southern District, September 17, 2021. This 19 20 is a fact-intensive inquiry. Farmer versus Richard, 364 F.3d 60 at 65, and ordinarily can't be addressed on a motion to dismiss. 21 Chavez at page 7, collecting cases. See Mena versus Gutwein, 22 23 2020 Westlaw 5370708 at page 5, Southern District, September 8, 24 2020. 25 So I turn to whether plaintiff was afforded

constitutionally sufficient process. Prison inmates do not get the full panoply of rights due to a defendant in a criminal prosecution. Nevertheless, an inmate is entitled to advance written notice of the charges against him, a hearing affording him a reasonable opportunity to call witnesses and present documentary evidence, a fair and impartial hearing officer, any written statement of the disposition, including the evidence relied upon, and the reasons for the disciplinary action taken. Sira versus Morton, 380 F.3d 57 at 69. The disciplinary action must be supported by at least 10 some reliable evidence. Sira at 69, Smith v. Arnone; 700 Fed. 11 12 App'x 55 at 56; Smith versus DOCCS, 2018 Westlaw 2305566 at 13 page 4, Southern District, May 21, 2018; appeal dismissed 2018 Westlaw 6579309, October 3rd, 2018. 14 Whether the "some evidence" standard is satisfied, 15 "does not require examination of the entire record, independent 16 assessment of the credibility of witnesses, or weighing of the 17 evidence. Instead, the relevant question is whether there is 18 19 any evidence in the record that could support the conclusion 20 reached by the disciplinary board." Gaston versus Coughlin, 249 F.3d 156 at 163. 21 22 The inmate facing disciplinary proceedings should be 23 allowed to call witnesses and present documentary evidence in 24 his defense when allowing him to do so will not be unduly 25 hazardous to institutional safety or correctional goals. Wolff,

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But the right to call witnesses or present
   418 U.S. at 566.
   documents can be denied on the basis of irrelevance or lack of
  necessity. Kingsley vs. Bureau of Prisons, 937 F.2d 26 at 30;
   and Richardson versus Williams, 2017 Westlaw 4286650 at page 9,
   Southern District, September 26, 2017; and that right is
   circumscribed by the penological need to provide swift
   discipline in individual cases. Ponte versus Real, 471 U.S. 491
   at 495. Any violations of an inmate's qualified right to call
   witnesses or present evidence or present documents are reviewed
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   for harmless error. Pilgrim versus Luther, 571 F.3d 201 at 206.
   So the inmate must show that he was prejudiced by the alleged
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   procedural errors in the sense that the errors affected the
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   outcome of the hearing. Colantuono versus Hockeborn, 801
   F.Supp.2d 110 at 114, Western District 2011.
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             Plaintiff alleges that defendant Gutwein violated the
   due process clause through -- in five different ways: By
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   excluding or not providing him with requested audio or video
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   footage; by allowing only four out of 11 or 10 witnesses to
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   testify; by acting partially, or arbitrarily and capriciously;
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   by providing plaintiff with photos after the hearing and by
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   secretly calling witness outside of the plaintiff's presence.
   See ECF Number 39 at page 11.
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23
             I will start with plaintiff's allegation that he did
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  not get any footage of Camera 33 or 192 or 191 despite his
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   requests, and that he was allowed to call only four witnesses.
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Defendants assert in their brief at page 17 that 1 Gutwein considered all of that to be irrelevant or duplicative. 2 As discussed, it's not a due process violation to exclude irrelevant or duplicative evidence or testimony at a disciplinary hearing. Pooler versus Mussaw, 2015 Westlaw 272276 at page 3, Southern District, January 19, 2015; Holland versus Goord 758 F.3d 215 at 225; Kingsley, 937 F.2d at 30; Albritton versus Morris, 2018 Westlaw 1609526 at 15, Southern District, March 29, 2018. I will not take the time to recite the portions 10 of the hearing transcript that defendants cite in support of their argument because the transcript contains several notations 11 12 that it's unintelligible, and because in any event, I cannot 13 consider Gutwein's statements in the transcript for their truth; but it's clear to the Court that Gutwein's stated reasons for 14 15 excluding the videos is that they were irrelevant because they did not show the use of force. And his stated reason for 16 17 excluding the witnesses was that they were irrelevant because they had not seen the use of force or they were duplicative. 18 19 For example, in the transcript at page 36, Gutwein 20 said, "As for the video, the SHU and the elevator to the SHU as 21 well as the video of the mental health that you're being denied, they are not...to the incident alleged in the misbehavior report 22 23 as the video itself is not of the incident, and therefore, it 24 wouldn't be relevant to the incident alleged in the report regarding producing video on the date of the incident." 25

What remains less clear to me is what the additional 1 witnesses would have testified and what the audio/video would 2 have shown. Even in the transcript of the hearing when plaintiff is arguing with Gutwein about these issues, he does not make clear what the recording or witnesses would have added to the proceedings, and he makes no effort to do so in his complaint, AC or opposition. He has not alleged, argued or otherwise put forth any valid reasons for receiving the audio or video or for calling the additional witnesses. See Young versus Freer, 829 F.Supp. 32 at 34, Northern District 1993. He doesn't 10 allege facts suggesting that the excluded witnesses would have 11 12 provided additional or unique testimony that would not have been redundant and would have bolstered his defense. Colon versus 13 14 Annucci, 344 F.Supp.3d 612 at 666, Southern District, 2018. 15 Accordingly, he has not plausibly alleged a due process violation based on the excluded audio and video or 16 witnesses. 17 That said, because plaintiff might be able to do so, 18 19 see Cook versus Dubois, 2021 Westlaw 91293 at page 7, 20 January 11, 2021 which says, in some circumstances, refusing to 21 show an inmate security footage of the incident in question may present due process issues. I will allow plaintiff to amend to 22 23 add facts to this part of his amended complaint if he can show 24 that the audio or video footage would have included the uses of force about which he complains, but he should only amend if he 25

can do that; if he can add facts suggesting that the videos are of the instant or otherwise relevant and unique, meaning not redundant or duplicative. The same goes for the additional witnesses plaintiff wanted to call. He must explain what their testimony would have been and why it was relevant and not duplicative. 7 Turning now to the photographs. Plaintiff alleges he was given photographs after the hearing was over. AC at 11. But defendants correctly argue in their brief at pages 18 to 19 that he provides no explanation or argument regarding what those 10 photographs depict and how they were relevant to the hearing or 11 12 somehow show bias on Gutwein's part. Plaintiff intimated at the 13 hearing that the photos somehow show that a witness was lying, but as they were before the hearing officer during the hearing, 14 see ECF 39-4 at pages 27 to 28, I fail to see how the later 15 production of copies to plaintiff plausibly deprived him of due 16 17 process. Plaintiff also alleges in a general fashion that 18 Gutwein was biased, arbitrary and capricious. AC at 11 at 15. 19 20 Those conclusory allegations are insufficient to sustain a due 21 process claim. See Jabot versus NHU Counsel Roszel, 2016 Westlaw 6996173 at page 9, Southern District, November 29, 22 2016, which says, claims of hearing officer bias are common in 23 24 Section 1983 cases by inmate plaintiffs, and where they are 25 based on purely conclusory allegations, they are routinely

dismissed, and that is the case here.

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2 Finally, plaintiff alleges that he was not allowed in the room to confront Polito while Polito was testifying. That's in the AC at 15. Defendants in their brief at page 18 citing Exhibit A at page 4 -- or the transcript at page 4, argue that the transcript reflects "that on the day that defendant Polito testified, Mr. Girard stated that he did not wish to remain at the hearing." What the hearing transcript actually reflects is that Polito said that plaintiff said he did not wish to remain at the hearing. I do not consider what the witnesses said in 10 that transcript for the truth of the matters asserted. 11 12 Regardless, plaintiff fails to plead a due process violation on 13 these facts because there is no right to confrontation in prison 14 disciplinary hearings. See Sira at 69; Hadden v. Mukasey 2008 Westlaw 2332344 at page 3, Southern District, June 3rd, 2016. 15 Nor does plaintiff explain what argument he could have made had 16 he been present that he was not able to make. 17

So for the above reasons, the due process claim is dismissed with leave to replead as to the audio/video and the witnesses if plaintiff has facts that would cure the defects identified in this ruling.

Turning now to the conspiracy claim. Plaintiff says that Gutwein conspired with Polito to give false testimony at his hearing. That's in the AC at 15.

To prove a conspiracy, plaintiff has to show an

agreement between two or more state actors, or between a state actor and a private entity, to act in concert to inflict an unconstitutional injury, and an overt act in furtherance of that goal causing damages. Pangburn versus Culbertson, 200 F.3d 65 at 72; see Biswas versus City of New York, 973 F.Supp.2d 504 at 532 to 33. Conspiracies by their nature are secretive, and they have to be proven by circumstantial evidence. Pangburn, 72. Nevertheless, complaints with only conclusory, vague or general allegations that a conspiracy to deprive plaintiff of constitutional rights are properly dismissed; diffuse and 10 expansive allegations are insufficient unless amplified by 11 specific instances of misconduct. Ciambriello versus County of 12 Nassau, 292 F.3d 307 at 325. In other words, the complaint must 13 14 have sufficient factual matter taken as true to suggest an 15 agreement was made. Twombly at 552. The conspiracy claim here is dismissed for essentially 16 the same reasons set forth in defendants' memorandum of law at 17 pages 19 to 20. Plaintiff's allegations regarding the alleged 18 19 conspiracy are conclusory. He fails to specify in any detail the factual basis for the claim. Ciambriello at 325; Romer 20 versus Morgenthau, 119 F.Supp.2d 346 at 353, Southern District 21 22 There are no facts showing an agreement, and the presence 23 of Gutwein and Polito at the hearing is insufficient. See Warr 24 versus Liberatore, 270 F.Supp.3d 637 at 650, Western District 25 2017.

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Further, plaintiff does not respond as to the
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   conspiracy claim in his opposition papers, so any such claim may
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   also be dismissed as abandoned. See Martinez versus City of New
   York, 2012 Westlaw 6062551 at page 1, Southern District,
   December 6, 2012; and Rodriguez versus City of New York, 2012
   Westlaw 1059415 at page 13, Eastern District, March 28, 2012;
   and Brandon versus City of New York, 705 F.Supp.2d 261 at 268,
   Southern District 2010, collecting cases.
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             I will now address the sexual abuse claim against
  Polito. Sexual abuse of a prisoner by a corrections officer may
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   in some circumstances violate the prisoner's right to be free
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   from cruel and unusual punishment. Boddie versus Schnieder, 105
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   F.3d 857 at 862. The principle inquiry is whether the contact
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   is incidental to legitimate official duties, such as a
   justifiable pat-frisk or strip search, or by contrast whether it
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   was undertaken to arouse or gratify the officer or humiliate the
16
   inmate. Crawford versus Cuomo, 796 F.3d 252 at 257 to 58.
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   state a claim, a prisoner must allege two elements, one
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   subjective and one objective. First, the prisoner must allege
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   that the defendant acted with a sufficiently subjectively
   culpable state of mind; and second, that the contact was
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   objectively harmful or serious enough to reach constitutional
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   dimensions. Crawford at 256.
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             With respect to the objective prong, severe or
   repetitive sexual abuse of an inmate by a prison official can be
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objectively, sufficiently serious enough to constitute an Eighth Amendment violation. Washington versus Fitzpatrick, 2021 Westlaw 966085 at page 4, Southern District, March 15, 2021. Even a single incident of sexual abuse is sufficiently severe or serious and may violate an inmate's Eighth Amendment rights no less than repetitive abuse can. Crawford at 257. The objective inquiry is context specific, turning on contemporary standards of abuse. Campbell versus Trew, 2021 Westlaw 3292226 at page 6, Southern District, July 30, 2021. The subjective element may be where there is no 10 legitimate law enforcement or penological purpose that can be 11 12 inferred from the defendant's conduct, and sometimes the abuse 13 itself may be sufficient to evidence a culpable state mind. 14 Boddie, 105 F.3d at 861. To the determine the purpose of the jail official's conduct, courts look to the timing and to 15 comments made by the official. Washington, 2021 Westlaw 966085 16 17 at page 4. 18 Plaintiff here, putting together all of his 19 allegations, alleges that Polito pushed plaintiff against the 20 wall, grabbed plaintiff's genitals with his bare hands, played with his genitals by stroking them and said, "Nice." Plaintiff 21 also alleges that the assault lasted for five minutes. 22 23 Defendants argue the alleged genital touching was part of a 24 legitimate pat-frisk and done for proper penological purposes. That may be so, but it is not inferable from the complaint. 25

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It's an argument that will have to be addressed at summary
   judgment or more likely trial. Plaintiff provides enough facts
   taken as true, as I must at this stage, to plausibly suggest a
   serious sexual assault without a law enforcement purpose.
   factfinder might find the facts alleged by plaintiff to be
   farfetched, but that is not a ground on which I can dismiss.
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             Washington versus Fitzpatrick, a case on which
   defendants rely is distinguishable. There, the plaintiff
   alleged that the officer squeezed and fondled the plaintiff's
   testicles and manipulated his penis away from his testicles
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   during a frisk, which is conduct that seems necessary to
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   frisking that area. Here, plaintiff at the disciplinary hearing
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   seemed to concede that the sexual assault occurred during a
   pat-frisk, ECF 39-4 at 14, but he alleges way more than a single
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15
   fondling or manipulation that would be a necessary part of a
   body search of a prisoner. He claims five minutes of stroking
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   and a comment that, if not meant sarcastically to humiliate,
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   could signal gratification. So the sexual assault claim
   survives.
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             Plaintiff also brings a failure to intervene claim
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   against Elmore. He says that Elmore watched the physical and
22
   sexual assault and did nothing to protect him.
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             It's widely recognized that all law enforcement
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  officials have an affirmative duty to protect the constitutional
   rights of citizens from infringement by other law enforcement
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officers in their presence. J.H. versus City of Mount Vernon, 2019 Westlaw 1639944 at page 5, Southern District, April 15, 2019. Liability attaches when the officer has a realistic opportunity to intervene and prevent the harm; a reasonable person in the officer's position would know that the victim's constitutional rights were being violated; and the officer doesn't take reasonable steps to intervene. McClean versus County of Westchester, 2018 Westlaw 6329420 at 19, Southern District, December 3rd, 2018, affirmed 776 Fed. App'x 725. there has to be a realistic opportunity to intervene to prevent 10 that harm. Anderson versus Branen, 17 F.3d 552 at 557. 11 12 I explicitly told plaintiff at the pre-motion conference that he needed to be specific about who had the 13 opportunity to intervene and why they had the opportunity to 14 intervene. Defendant doesn't say anything about why Elmore had 15 that opportunity beyond arguing that she did. He does not say 16 where she was located or if that location changed during the 17 sexual assault or the beating, but he provides a transcript of 18 her testimony, and in combination with these other allegations, 19 20 that provides just enough to infer that she plausibly had a realistic opportunity to intervene. Elmore, who is erroneously 21 22 called "Elmer" in the transcript, seems to concede that she was 23 present from the time plaintiff left his cell through the time 24 Polito used force and sprayed the plaintiff; although she says that occurred because plaintiff was yelling and screaming and 25

eventually head-butted Polito. That's in the transcript at pages 12 to 16. Interpreting plaintiff's allegations to raise the strongest arguments they suggest, I find that plaintiff has plausibly alleged a failure to intervene claim, and specifically a reasonable opportunity for Elmore to intervene, based on his allegation that he was sexually assaulted for five minutes and punched multiple times by several officers who joined in turn, and that during this time he asked Elmore her name, which is in the AC at pages 5 and 9, combined with Elmore's admission that 10 she was present for the entire encounter between plaintiff and 11 Polito. Now I'll turn to the First Amendment Retaliation 12 13 claim. Just one second. To prove a First Amendment Retaliation claim, a 14 prisoner has to show that the speech or conduct at issue was 15 protected; that the defendant took adverse action against the 16 plaintiff; and there was a causal connection between the 17 protected speech and the adverse action. Espinal versus Goord, 18 19 558 F.3d 119 at 128. Because virtually any adverse action taken 20 against a prisoner by a prison official -- even though it's not otherwise rising to the level of a constitutional violation --21 22 could be characterized as a retaliatory act, the Second Circuit 23 has told district courts to approach prisoner retaliation claims 24 with skepticism and particular care. Stapleton v. Pagano, 2020 Westlaw 4606320 at page 6, August 11, 2020. I think that's 25

Southern District.

I turn first to the claim as alleged in the AC.

There, plaintiff alleges that Blot, Polito and Rios assaulted him because he -- because he had filed a "pending 1983 18-cv-2026 for deliberate indifference." That's in the AC at 12. Defendants don't dispute that a lawsuit is protected conduct or that getting beaten up is an adverse action, but they argue that plaintiff failed to plead a causal connection between the two. I agree.

"To allege a causal connection, the plaintiff must demonstrate that the protected conduct was a substantial or motivating factor for the adverse actions taken by prison officials." Washington versus City of New York, 2019 Westlaw 2120524 at page 34, Southern District, April 30, 2019. Here, plaintiff provides no facts supporting his conclusions that the defendant assaulted plaintiff because he filed a lawsuit. In other words, he does not tie the complaint in his pending 1983 action, which he filed on March 6, 2018, to the July 31, 2018, assault.

Defendants Blot, Polito and Rios are not defendants in the 1938 medical indifference action, and plaintiff does not provide any facts suggesting these defendants were even aware of that pending action such that his protected conduct, the filing of the lawsuit, could plausibly be a substantial or motivating factor for the adverse action. Bennett versus Goord, 343 F.3d

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"Generally, alleged retaliation motivated by an
   133 at 137.
   action the prisoner took which did not personally involve the
   prison officials is insufficient for a retaliation claim."
   Quick versus Minale, 2016 Westlaw 6124495 at page 7, Northern
   District, October 20, 2016; see Wright versus Goord, 554 F.3d
  255 at 274; and Jones v. Fischer, 2013 Westlaw 5441353 at
   page 21, Northern District, September 27, 2013; and Bryant
   versus Goord, 2002 Westlaw 553556 at page 2, Southern District
   2002.
 9
10
             Even if the assaulting defendants were aware of
   plaintiff's prior complaints against different defendants, that
11
12
   alone would not suffice to plausibly allege that the earlier
13
   1983 complaint was the reason for the assault. See the same
14
   cases just cited and Hare versus Hayden, 2011 Westlaw 1453789 at
   page 4, Southern District, April 14, 2011, which said, As a
15
   general matter, it is difficult to establish one defendant's
16
   retaliation for complaints against another defendant; Roseboro
17
   versus Gillespie, 791 F.Supp.2d 353 at 359, Southern District
18
   2011, which says that even assuming one officer knew about the
19
20
   plaintiff's grievance against another officer, plaintiff didn't
21
   provide any basis to believe that the first officer retaliated
22
   to the grievance that she wasn't named in.
23
             Temporal proximity can provide an inference of causal
24
   connection. The Second Circuit, "has not drawn a bright line to
   define the outer limits beyond which a temporal relationship is
25
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too attenuated to establish a causal relationship." Corman-
   Bakos versus Cornell, 252 F.3d. 545 at 554, but it has suggested
   that six months or less will suffice. Hayes, 2017 Westlaw
   9511178 at page 9; citing Espinal versus Goord, 558 F.3d 119 at
   129; and that case report and recommendation was adopted as
  modified at 2018 Westlaw 555543, January 19, 2018.
 7
             Here, the time between the filing of the 1983 case and
   the assault was between four and five months, but because
   "prisoner retaliation claims are easily fabricated and pose a
   substantial risk of unwarranted judicial intrusion into matters
10
   of general prison administration," the Second Circuit, while
11
   holding "that temporal proximity between protected conduct and
12
   an adverse action constitutes circumstantial evidence of
13
14
   retaliation," has "consistently required that some further
   evidence of retaliatory animus before permitting a prisoner
15
   proceed to trial on a retaliation claim." Faulk versus Fisher,
16
   545 F. App'x 56 at 58. While at this stage plaintiff need only
17
   plausibly allege retaliatory animus, he has not done so here
18
   where all he has is temporal proximity without a basis for
19
20
   attributing knowledge of the protected activity to the
   defendants or any other indication of a retaliatory state of
21
   mind on their parts.
22
23
             In his opposition, plaintiff seems to put forth a new
24 retaliation theory; that he was denied medical attention due to
25 his pending 1983 action. See plaintiff's opposition at page 7.
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But again, he fails to show a nexus between the protected
   activity of filing the lawsuit and the retaliatory conduct
   regardless of whether I consider the latter to be the assault or
   the failure to attend to plaintiff's emergency sick call request
   because, again, there are no facts rendering it plausible that
   the defendants who do not take plaintiff to medical were aware
   of the prior 1983 lawsuit.
             I don't interpret the opposition to be an attempt to
 8
   enter new defendants to the case, but to the extent plaintiff
   intends to bring claims against Dr. Bentivenga or Provider
10
   Korobkova, defendants are correct in their reply at 3 when they
11
   say that conduct by these persons can't be the predicate for the
12
   plaintiff's retaliation claims because they are not defendants
13
   in this case, but rather are defendants in 18-cv-2026.
14
             So the First Amendment Retaliation claim is dismissed.
15
             Turning to leave to amend, it should be freely given
16
   when justice so requires under Rule 15. It's within the
17
   discretion of the district judge to grant or deny leave to
18
19
   amend. Kim versus Kim, 884 F.3d 98 at 105. Though liberally
20
   granted, leave to amend can be properly denied for undue delay,
   bad faith, dilatory motive, repeated failure to cure
21
22
   deficiencies by amendments previously allowed, undue prejudice,
23
   and futility. Ruotolo versus City of New York, 514 F.3d 184 at
24
   191.
25
             Plaintiff has already amended his complaint after
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having the benefit of the pre-motion letter from defendants
   outlining the proposed grounds for dismissal and the discussion
  at the pre-motion conference. In general, failure to fix
   deficiencies in the previous pleading, after being provided
  notice of them, is alone sufficient grounds to deny leave to
           See National Credit Union v. U.S. Bank, 898 F.3d 243 at
   257 and 58; In re: Eaton Vance, 380 F.Supp.2d 222 at 242,
   Southern District, 2005; affirmed 481 F.3d 110 at 118.
 9
             Further, plaintiff has not asked to amend again or
   otherwise suggested he has facts that would cure the
10
11
   deficiencies identified in this ruling. See TechnoMarine versus
12
   Giftports, 758 F.3d 493 at 505; Gallop v. Cheney, 642 F.3d 364
13
   at 369; Porat versus Lincoln Towers, 464 F.3d 274 at 276; see
14
   also Loreley Financial versus Wells Fargo, 797 F.3d 160 at 190.
   So I will not grant leave to amend sua sponte except as
15
   discussed. I will allow plaintiff to amend his due process
16
   claim, but only with respect to the excluded audio/video and
17
   witnesses.
18
             So the motion is dismiss is granted in part and denied
19
20
   in part.
             The clerk should terminate ECF Number 51 and Lamanna
21
22
   and Uzu as defendants.
23
             Now we need to set a schedule. The remaining claims
24
  are the excessive force claims, the sexual assault claims, the
25
   failure to intervene claims against Elmore.
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Mr. Girard, do you want to take a shot at amending the
 1
   due process claim against Gutwein?
 2
 3
             MR. GIRARD: Huh?
 4
             THE COURT: Mr. Girard?
 5
             MR. GIRARD: Hello?
 6
             THE COURT: Yes. Do you want the opportunity to try
 7
   to amend the due process claim against Gutwein?
 8
             MR. GIRARD: I just wanted to -- yes, like make
   sanctions.
             THE COURT: Well, as I just explained, you -- one of
10
  your claims against Gutwein is that he wouldn't let you get some
12
   audio and video footage and wouldn't let you call witnesses.
13
   dismissed that claim because you don't say what was important
  about any of that evidence, but I am giving you the opportunity
14
   to amend the complaint if you can explain to me why that
15
   evidence would have made a difference in the hearing, and why it
16
  wasn't cumulative, and why it was relevant.
17
18
             MR. GIRARD: Right.
19
             THE COURT: So if you want to opportunity, I will give
20
   you that opportunity.
21
             MR. GIRARD: Yes, I do. I would like that.
22
             THE COURT: Okay.
                                So --
23
             (Cross-talk)
24
             MR. GIRARD: Would I have to include like the fact
   that he had them on the witness list but never called them,
25
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something like that?
 2
             THE COURT: No. It doesn't matter who is on the list.
   If you asked him to call somebody --
 4
            MR. GIRARD: Right.
 5
             THE COURT: -- and he didn't call that person, you've
  got to show a few things: One, you've got to show that their
   testimony would have been relevant. You've got to show why it
   would have been important, and you've got to show what
   difference it would have made. So if there is 15 people on the
10
   exhibit list, just to use an unrelated example, let's say there
  is a car crash, and ten people saw it.
11
12
            MR. GIRARD: Right.
13
             THE COURT: But three or four of them testified, and
   they all say the light was red, and the blue car went through
14
   it. You don't need to call the remaining six to say the same
15
16
   thing.
17
            MR. GIRARD: All right.
                         It's duplicative. Or let's say the
18
             THE COURT:
19
   remaining six were all there, but they were looking the other
20
   direction; they didn't see anything. They are not relevant.
   They don't have anything to contribute.
21
22
             MR. GIRARD: Right. So --
23
             THE COURT: So in this case if your argument is that
24 your due process rights were violated because you weren't
   allowed to use that footage or those witnesses, you've got to
25
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tell me what was in that footage, what those witnesses would
  have said, why it was relevant, why it wasn't duplicative, and
   why it would have made a difference.
 4
             MR. GIRARD: Oh, okay.
 5
             THE COURT: All right. And so you are going to file a
  third amended complaint. No, a second amended complaint. And
   it should include everything you want me to consider with
  respect to the due process claim, and don't repeat what's in the
   other complaints with respect to the claims I have dismissed.
   So you can't change anything with respect to the excessive
10
   force, sexual assault, or failure to intervene with respect to
11
   Elmore.
12
13
             So the only claims that should be in the amended
14
  complaint are the due process claim versus Gutwein, and that you
  are allowed to beef up; and then with respect to the other
15
   claims that survive, the excessive force claim, the sexual
16
   assault claim, and Elmore failing to intervene, those should be
17
   the same.
18
19
             MR. GIRARD: Okay.
20
             THE COURT:
                         I mean, I guess you can add things if you
   want, but you can't add new defendants or new claims.
21
22
             MR. GIRARD: No.
23
             THE COURT: The only new defendants -- no, you can't
24 add new defendants and new claims at all. The only thing, you
   can beef up the facts on the claims that have survived, and you
25
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can try to add facts that would make that due process claim
   viable, but no new claims or defendants.
             How long would you need to do that, to file that
 3
  second amended complaint?
 5
             MR. GIRARD: Probably -- what if -- I am not going
  to -- so it says here because today I was supposed to go on a
  medical trip, and it seems like every time they schedule my
  medical trips, I have court. So it's like I don't get to go to
   my medical trips. And it's hard for me to get in the law
10
   library also, to have access. It's like they are not letting me
  in there unless you have like a deadline.
12
             THE COURT: Well, how long would you like?
            MR. GIRARD: I would like two -- two months or even a
13
14 month.
          Wait. Today is --
15
             THE COURT: Well, you'll really just -- you're just
   beefing up the one claim regarding the excluded evidence, and
   you got to tell me who the excluded witnesses were, what was on
17
   the excluded video, and why that would have made a difference at
18
19
   the hearing. You know, I don't think you really need to spend a
20
   lot of time in the library for that. I will give you six
21
   weeks --
22
            MR. GIRARD: Six weeks.
23
             THE COURT: -- which should be plenty.
24
             MR. GIRARD: I just want to ask about the transcripts
   from the conference. How do I speak to -- what's her name?
25
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Ms. Angie Shaw-Crockett and --
 2
             THE COURT: The court reporter?
 3
             MR. GIRARD: Right. I wasn't able to obtain them for
   4/23/21.
 5
             THE COURT: Well, did you send her the money?
 6
             MR. GIRARD: I didn't get any reply back. I didn't
 7
  receive any.
             THE COURT: Didn't my courtroom deputy send you the
 8
   form? Hold on a second. Did you get the transcript request
  form?
10
11
            MR. GIRARD: No.
12
             THE COURT: Oh.
13
             MR. GIRARD: I just got a paper saying to write her
   and obtain them from her.
14
             THE COURT: Yes.
15
            MR. GIRARD: That was it.
16
17
             THE COURT: Back in August I directed the clerk to
   send you a transcript request form, and if that didn't get done,
18
   I will make sure it gets done now.
19
20
            MR. GIRARD: Thank you.
21
             THE COURT: You have to fill it out, and it explains
22 what you need to do, but it costs money.
23
             MR. GIRARD: Okay.
24
             THE COURT: All right. So I will give you until
25 March 15th for the amended complaint.
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1
            MR. GIRARD:
                         Okay.
 2
             THE COURT: Ms. Zaffrann, the customary 21 days to
   answer?
            MS. ZAFFRANN: Your Honor, will I have the
 4
   opportunity, if the complaint is amended to include new
   allegations about due process claims, to file a motion to
   dismiss if appropriate?
 8
             THE COURT: Yes. I mean, if you think that the new
   complaint still fails to state a claim, you can move to dismiss
10
        So April 5th, would that be enough time? You would only
  have the one claim to be dealing with.
11
12
            MR. GIRARD: All right. Yes.
13
             THE COURT: No. I am asking Ms. Zaffrann --
14
            MR. GIRARD: Oh.
             THE COURT: -- if three weeks to either answer or move
15
   to dismiss the due process claim would be enough for her.
            MS. ZAFFRANN: If it's acceptable to Your Honor, if I
17
   could have 30 days to April 15th?
18
             THE COURT: All right. April 15th.
19
20
   you will either answer or move to dismiss the due process claim.
             If a motion to dismiss is made just as to the due
21
   process claim, why don't we say Mr. Girard will respond -- this
22
23
   is going to be a much more limited issue because it's just the
24
   one claim, and we have already discussed what the legal
   principles are. So let's say May 16th for opposition, and
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May 30th -- let me make sure that's not Memorial Day.
  be Memorial Day. Yes, it is. May 31st for a reply, and I will
   give you a ruling from the bench on that. It's not going to be
   a tough one if it's made. Let me just check the calendar.
 5
             MS. ZAFFRANN: Your Honor, if I may?
             THE COURT: Yes.
 6
 7
            MS. ZAFFRANN: So I have a trial in state court the
   24th to the 26th. Is there -- could I extend my response date
   to June 3rd?
             THE COURT: Yes. June 3rd, 2022, and I will give the
10
   parties a bench ruling on June 30th at 9:30. If instead of
   moving to dismiss, the defendants' answer, we will have a
12
13
   conference to set a discovery schedule.
             And, you know, if, Mr. Girard, you decide you don't
14
   really have enough to show that those witnesses were important,
15
   and you want to drop that claim, you know, that might get your
16
   case moving faster because if you proceed on it, and they move
17
   to dismiss again, you know, that's going to hold things up for a
18
   little while, but that's up to you. Now that you know the lay
19
20
   of the land, you can decide what you want to do.
21
            MR. GIRARD: Okay.
22
             THE COURT: So let me give you those dates again.
23 second amended complaint by March 15th. Not adding new claims
24
  or defendants, just beefing up the due process claims against
   Gutwein, and restating the excessive force, sexual assault, and
25
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Then by April 15th, the
   Elmore failure-to-intervene claims.
  attorney general will either answer, in which case we will have
  a conference and set a discovery schedule, or they will move to
   dismiss the due process claim again, and your opposition will be
   due May 16th, and their reply June 3rd, and I will give you a
   ruling on June 30th.
 7
             MR. GIRARD: Okay.
             MS. ZAFFRANN: Your Honor?
 8
 9
             THE COURT: And set the discovery schedule thereafter.
             Yes, Ms. Zaffrann?
10
11
             MS. ZAFFRANN: Just two points of clarification:
   amendment is only for the due process claim relating to the
12
   excluded audio/video and witnesses; is that correct?
13
             THE COURT: Yes.
14
15
             MS. ZAFFRANN: And the -- should the attorney
   general's office answer, then on April 15th, is that when the
16
   discovery conference would be or would that be set later?
17
                        No. That's the day your answer would be
18
             THE COURT:
   due, and then I will set a date for a conference.
19
20
             MS. ZAFFRANN: Okay. Thank you.
21
             THE COURT: Once the answer comes in, that will
22
   trigger a notification of a conference. All right.
23
             If there is nothing else, I will ring off.
24
  Everybody --
25
             MS. ZAFFRANN: I am sorry, Your Honor. May I have
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just one more clarification? So if the attorney general's
  office moves to dismiss, that limited move to dismiss against
 3 Gutwein on April 15th, should we also put in there a request to
  adjourn the answer date for the other defendants until the
  resolution of the motion to dismiss?
             THE COURT: I will grant that right now. If a motion
 6
   to dismiss is made April 15th, all defendants' time to answer
   will be extended to a date I will set after I rule on the motion
   to dismiss.
10
             MS. ZAFFRANN: Thank you, Your Honor.
11
             THE COURT: All right. Thank you, all. Everybody
12 stay well. Bye-bye.
13
             (Time noted: 12:23 p.m.)
14
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16
17
18
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21
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